

03-14-01

Attorney Docket No. 2102716-900101

A

03/13/01
J1054 U.S. PTO

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Casey Campbell, et al.

Serial No.: Not Yet Assigned

Group Art Unit: Not Yet Assigned

Filed: Herewith

Examiner: Not Yet Assigned

Title: **METHOD AND APPARATUS FOR COUNTERPARTY
COMMUNICATIONS AND BROKERING TRANSACTIONS**

J1036 U.S. PTO
09/805232

Express Mail number. EK878571815US

Date of Deposit March 13, 2001

I hereby certify that this paper is being deposited with the United States Postal Service
"EXPRESS MAIL Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and
is addressed to BOX PATENT APPLICATION, Commissioner for Patents, Washington, D C 20231.


Signed Ta-Tanisha L Moore

UTILITY APPLICATION TRANSMITTAL LETTER

Commissioner for Patents
Washington, D.C. 20231

ATTN.: BOX PATENT APPLICATION

Sir:

Transmitted herewith for filing is the patent application of:

INVENTOR(s): Casey Campbell
Sanjeev Ramchandani

FOR: **METHOD AND APPARATUS FOR COUNTERPARTY
COMMUNICATIONS AND BROKERING TRANSACTIONS**

Enclosed are:

- [46] pages of specification, claims and abstract
- [26] sheets of informal drawings
- [X] Declaration of Inventors
- [] Assignment of the application to
- [] Power of Attorney
- [X] Information Disclosure Statement (w/ 27 references)
- [] Preliminary Amendment
- [X] Other – Return Postcard

The filing fee is calculated as follows:

(1) For	(2) # filed	(3) # extra	(4) Large Entity Rate	(5) Small Entity Rate	(6) Calculations
Basic Filing Fee			\$710.00	\$355.00	\$355.00
Total Claims	29-20	9	X \$18.00	X \$9.00	\$81.00
Independent Claims	5-3	2	X \$80.00	X \$40.00	\$80.00
Multiple Dependent Claim(s) (if applicable)					
TOTAL FEE (small entity)					\$516.00

Basic Filing Fee Enclosed \$516.00
 Other Fee(s) Enclosed 0

TOTAL FEES ENCLOSED: \$516.00

A check in the amount of \$516.00 is enclosed for the basic filing fee and additional claims.

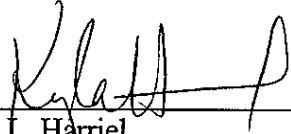
The Commissioner is hereby authorized to charge any additional fees and/or any other fees that may be required by this paper to Deposit Account No. 07-1896. A duplicate copy of this letter is enclosed.

All future correspondence should be addressed to:

GRAY CARY WARE & FREIDENRICH
Attn: Kyla Harriel
Patent Group
3340 Hillview Avenue
Palo Alto, CA 94304-1203
(650) 320-7484

Respectfully submitted,

GRAY CARY WARE & FREIDENRICH LLP



Kyla L. Harriel
Reg. No.: 41,816

Date: 3/13/01

Patent Department
GRAY CARY WARE FREIDENRICH
3340 Hillview Avenue,
Palo Alto, CA 94304-1203
Telephone: (650) 320-7484

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

FEE TRANSMITTAL

for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$516.00)

Complete if Known

Application Number	New
Filing Date	Herewith
First Named Inventor	Casey Campbell
Examiner Name	Unknown
Group Art Unit	Unknown
Attorney Docket No.	2102716-900100

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to
- Deposit Account Number 07-1896
- Deposit Account Name Gray Cary Ware & Freidenrath LLP
- ☒ Charge Any additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status See 37 CFR 1.27
2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
101 710 201	355	Utility filing fee	\$355.00
106 320 206	160	Design filing fee	
107 490 207	245	Plant filing fee	
108 710 208	355	Reissue filing fee	
114 150 214	75	Provisional filing fee	

SUBTOTAL (1) (\$355.00)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
29	-20** = 15	X \$9.00	= \$81.00
Independent Claims	5	-3** = 2	X \$40.00 = \$80.00
Multiple Dependent		X	= 0

Large Entity Fee Code	Small Entity Fee Code	Fee Description
103 18 203	9	Claims in excess of 20
102 80 202	40	Independent claims in excess of 3
104 270 204	135	Multiple dependent claim, if not paid
109 80 209	40	** Reissue independent claims over original patent
		** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$516.00)

**or number previously paid, if greater, For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105 130 205	65	Surcharge - late filing fee or oath	
127 50 227	25	Surcharge - late provisional filing fee or cover sheet	
139 130 139	130	Non-English specification	
147 2,520 147	2,520	For filing a request for ex parte reexamination	
112 920* 112	920*	Requesting publication of SIR prior to Examiner action	
113 1,840* 113	1,840*	Requesting publication of SIR after Examiner action	
115 110 215	55	Extension for reply within first month	
116 390 216	195	Extension for reply within second month	
117 890 217	445	Extension for reply within third month	
118 1,390 218	695	Extension for reply within fourth month	
128 1,890 228	945	Extension for reply within fifth month	
119 310 219	155	Notice of Appeal	
120 310 220	155	Filing a brief in support of an appeal	
121 270 221	135	Request for oral hearing	
138 1,510 138	1,510	Petition to institute a public use proceeding	
140 11 0240	55	Petition to revive - unavoidable	
141 1,240 241	620	Petition to revive - unavoidable	
142 1,240 242	620	Utility issue fee (or reissue)	
143 440 243	220	Design issue fee	
144 600 244	300	Plant issue fee	
122 130 122	130	Petitions to the Commissioner	
123 50 123	50	Petitions related to provisional applications	
126 240 126	240	Submission of Information Disclosure Stms	
581 40 581	40	Recording each patent assignment per property (times number of properties)	
146 710 246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710 249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710 279	355	Request for Continued Examination (RCE)	
169 900 169	900	Request for expedited examination of a design application	

Other fee (specify)

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Kyla L. Hamel	Registration No (Attorney/Agent)	41 816	Telephone	(415) 835-2574
Signature		Date	March 13, 2001		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORM TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231

Gray Cary\SF\3054719 1